

# Vision

Together we create an environment where people join with one another to increase their influence and effectiveness in making Air Traffic the world leader in safety, customer service, and technological innovation.

# Mission

We believe the best way to make our vision a reality is through implementation of self-directed work teams in all Air Traffic facilities. Together we will develop a national framework to be tested in at least one facility per region over a one-year period. During the evaluation period the self-directed work team model will be evaluated and modified to meet the needs of affected facilities. Our intent is to apply the lessons learned during the evaluation to design a plan for developing self-directed work teams at all Air Traffic facilities.



# Foreword

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This document is written in broad terms to be informative rather than directive. It incorporates any formal or informal agreements between Air Traffic and NATCA. This allows the user the flexibility necessary to meet the challenges sure to arise in these uncharted waters. The emphasis on creating teams is to improve operational effectiveness, productivity and work life in and around the operational environment.

This document provides guidance to Air Traffic and NATCA embarking on the process of implementing “Teams” as a strategic approach to the way we do business. The Guide describes the nature of teams and why they are being considered as a new way of doing business in Air Traffic. This Guide also suggests the steps to be taken, and the resources required, for the successful progression of a Team from initial implementation to becoming an effective Self-Directed Work Team (SDWT).

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# I. Introduction

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## A. History

Since the spring of 1999, a National Workgroup has been working toward the implementation of Article 52. We are bringing 16 test facilities of various sizes and kinds together to develop a framework for SDWTs. We believe that the development of teams will give us models for our employees to be able to use their knowledge and experience more effectively.

This initiative is underway to demonstrate the importance and priority both the Agency and NATCA have in fundamentally changing the way we do business.

Together, we want to create an environment where people join with one another to increase their influence and effectiveness in making Air Traffic the world leader in safety, customer service, and technological innovation.

If we could do that using our traditional way of doing business, we would. But, if we are to be on the cutting edge, in fact, if we're going to survive, we must re-think our methods. Common sense and expert research tell us that a high level of efficiency and performance can only be achieved if everyone has a stake in the outcome.

Fundamental change can be threatening. In general, many fear that their expertise will no longer be valued, that they will no longer perform important duties, or even that they will no longer have a job or the position they worked so hard to achieve.

Specifically, when organizations transition to a work team model, the typical concerns of employees include downsizing, position elimination, more work, and/or loss of power and change. However, once the organization completes the transition, most people find themselves playing a new, vital role in the long-term health of the organization. Mid-level managers, for example, now have time to act on new or long-neglected opportunities, such as:

- Coaching the teams
- Developing an overall strategy for the teams
- Interfacing between the teams and the larger organization
- Championing innovative ideas
- Focusing more on the technology to support the operation
- Attending to team resource needs
- Working closer with the customers
- Making improvements long left on the back burner

Supervisors, now coaches, mentors and facilitators, learn new skills and take pride in helping the teams achieve rising levels of efficiency and productivity. Once empowered, the front line employees will demonstrate energy and commitment all but unheard of in conventional operations. The result will be improved overall performance, which translates to increased job security and increased opportunity for anyone who learns to contribute in new ways.

## **B. Benefits of SDWT to the Team Members**

- More involvement in the decisions that affect one's work
- More personal pride in the quality of the product or service
- Rewards tied to productivity (money saved, problems, etc.)
- Ability to solve problems affecting the organization
- Ability to initiate change
- A feeling of ownership
- Empowerment (responsibility AND authority)
- Development of personal leadership skills
- Individual growth and development (technical, business, and interpersonal skills)
- The camaraderie and support of team members
- Variety and challenge in job function
- More information, knowledge, and decision-making capability
- More efficiency and productivity
- Higher quality products and services
- Better customer service (faster and more responsive)
- Working smarter rather than harder
- Constant improvement of the organization and service
- Greater job satisfaction
- Improved communication
- The sense of belonging and being an integral part of the organization

## **C. Benefits of SDWTs to the Organization**

- Better able to make decisions that affect services
- Utilization of everyone's skills, knowledge, and creativity
- Better communication up, down, and sideways on what really matters
- A more satisfying and effective workplace for all employees
- Constant growth for the organization through increasing its human resources

Moving from the current structure to teams will be a significant challenge for many of our employees. Care and understanding of those difficulties will be necessary throughout the process.

It is in this spirit that we begin a new way of doing business with you--some of our most dynamic and thoughtful leaders. The work you do will serve as prototypes for the rest of the country. We wish you well!

## II. Self-Directed Work Teams

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The word "team" is often used, but not often clearly defined. The term can be misused in an attempt to motivate the group and help it become more cohesive. There is, however, an important difference between a "team" and a "group", and that difference is based on how members perform their jobs.

In work groups, members perform their jobs as individuals. The work group may come together to share information, perspectives and insights, but the emphasis is always on the individual goals and accountabilities. With some work groups there may be a focus on the end product, but as soon as the outcome has been completed the work group ceases to function.

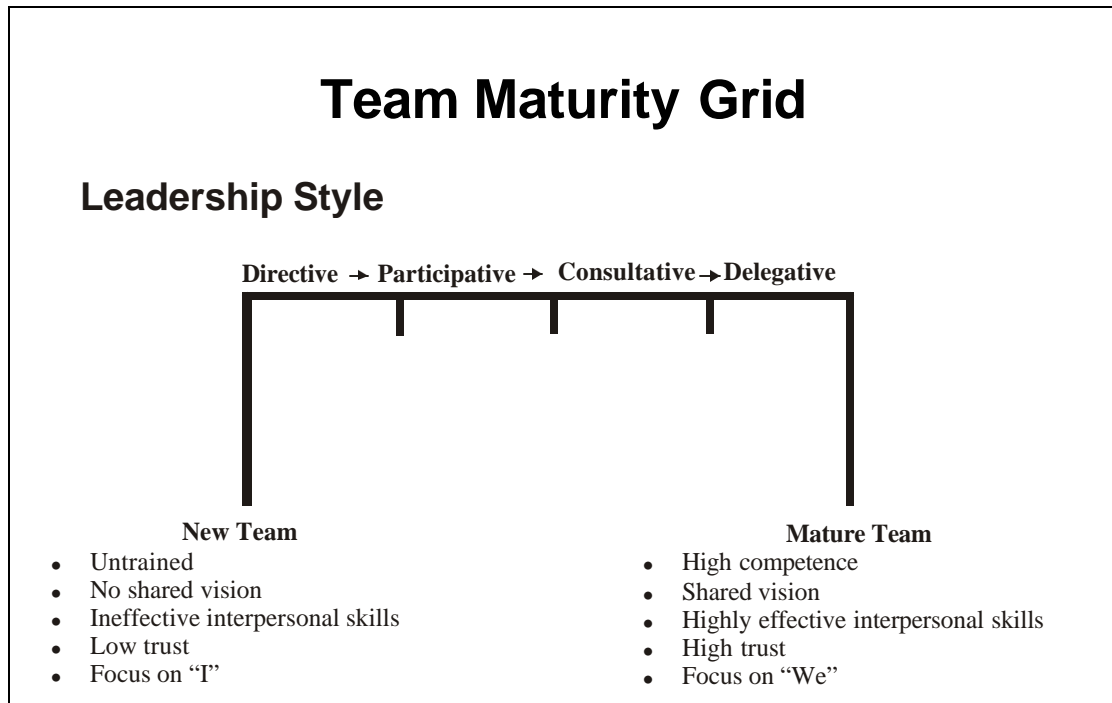
By contrast, teams perform their jobs as individuals *and* as a group. Members' individual efforts are brought together to meet team goals, rather than individual goals. The essence of the team is its commitment to a common goal, achieved through its members. In general, a team is a group of individuals, working together for a common purpose, who rely on each other to achieve results.

There are many different types of teams, covering a range of organizational functions, including:

- Leadership Teams
- Operational Teams
- Technical Teams
- Business Teams
- Project Teams
- Cross Functional Teams

The teams envisioned under Article 52 of the FAA/NATCA Agreement are primarily operational in nature, but will likely evolve to perform any or all of the functions listed above.

All teams, regardless of function, perform somewhere along on a continuum depending on their level of maturity, as depicted in the following diagram:



By our definition:

*A SDTW is an interdependent group of people with clearly defined goals who work together to meet the needs of the customer, create a better work experience, and manage the day-to-day operation.*

SDWTs have a high degree of responsibility, authority and accountability. Initially, key decisions on policy, critical operational matters and resources are made by either a higher-level team or management. Day-to-day operational decisions are left to the team. SDWTs assume more autonomy over time as a result of experience gained and a record of positive results. Eventually, SDWTs are empowered to perform all aspects of day-to-day operations and take on most functions traditionally associated with supervision.

Our goal within this context is that SDWTs will eventually have the authority to make decisions about how they use their resources, people, and skills to get the job done, while assuming accountability for their results.



### III. Preparing For Teams

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Prepare for this organizational change with the emphasis on INVOLVEMENT. Involvement is needed from all levels of the organization that are undergoing change, and from those groups that are impacted by the change. This includes managers and supervisors, employees, and any organization that represents employees. This does *not* mean handing off leadership responsibility for this change to others. Your continued involvement is crucial to the success of the SDWT.

Requesting volunteers is important, and employees in the impacted organization play a key role. Their successful involvement assures greater final success. To assure their understanding of the changes as well as their buy-in, involve them in the process. Leadership preparation in this area cannot be overstated.

In addition to involving others in the implementation of the SDWT, leadership must communicate continually about the process, the changes, and the expectations for success.

Specifically, each facility or area is responsible for developing its own plan for implementing SDWTs. In addition to outlining the structure and operating practices for the team, the plan must include communication strategies, training objectives, and methods for measuring and evaluating the program so that appropriate modification can be made along the way.

#### A. Membership

Membership on a team should be jointly decided by management and union leadership, preferably by an established leadership team. Membership status in any organization should not be used in team member selections. (A leadership team could consist of any, or all, of the following pairs: Facility Representative and Manager, Area Representative and Supervisor, Division Manager and Regional Vice President).

Ideally, a team should have eight to ten members. The actual number will depend on facility needs, and should not normally exceed twenty.

In selecting team members, the most important factor to consider is the employee's desire to be part of a team. It is also desirable to select team members who are compatible and whose skills and temperaments are complementary. It is best to ensure that a wide variety of viewpoints and experiences will be included. Since the major objective is to move to a self-directed team organization and one of the avenues to get there is by empowering employees, strongly consider involving employees in

team selections. Specifically, take into consideration the prospective team members' willingness to:

- Participate, contribute ideas, and set goals
- Rely on and learn to trust others
- Communicate effectively
- Give and receive honest and constructive feedback
- Collaboratively seek alternatives
- Share and value different ideas
- Consider other viewpoints
- Tolerate confusion
- Support and implement team decisions

## **B. Structure**

The team structure should be based on a common sense approach. Included in that approach is the need for the involvement of the Operational Supervisor (OS), who normally serves the role of a coach. Including others on the team may be appropriate (staff/support/secretarial). Additional teams may be necessary at larger facilities to handle some or all of the non-operational needs of the facility. (See examples of team models in Appendix A.)

## **C. Conditions to Promote Successful SDWTs**

1. Team members involved in setting up their own self-directed team
2. Clearly defined team vision, mission, responsibilities, and expectations for behavior
3. An internal structure for coordinating member roles and duties
4. Authority to make decisions within prescribed boundaries
5. Full access to needed information and other resources
6. Ongoing training in technical, business, and interpersonal skills
7. Agreed-to standards for team performance and feedback on results

8. Allowable freedom to learn from experiences and efforts
9. Scheduled time for regular team meetings to focus on team work and continuous improvement
10. Support from all parts in the organization
11. Team continuity preserved
12. Recognition and rewards for good team work
13. Coaching to help the team develop and mature
14. Leadership from management and union that is fully committed to the team concept

## IV. Implementation

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Once all the preparatory steps have been completed by leadership, the team members begin their work together. The initial steps include developing a team charter, agreeing on the team goals, determining the roles of the individuals and the functions to be performed by the team. When that is complete, the next tasks are to determine the individual and team training needs and the processes with which the team will be evaluated. Additionally, the team will develop a Communication Plan to support the implementation of the SDWT.

Throughout these efforts, oversight and guidance are to be provided by leadership. Their role is to commit to an open approach to organizational change, establish an environment of trust, and strive to find new and better ways to do business through the team. Their purpose is not to solve the problems of the team, but to be highly visible messengers of change and to provide the resources to allow the team to be successful. The continual support from leadership is crucial to the success of the team and cannot be overemphasized. This is a time of delegation, not abdication!

### A. Develop SDWT Charter

A SDWT must first develop a Team Charter. In addition to defining the expectations and ground rules for the team, the Charter will include as a minimum:

- Vision and Mission Statements
- Roles and responsibilities as team members
- Norms and values
- Decision making processes
- Meeting schedules (times, duration, etc.)

The Charter serves as a contract and, once completed and agreed to, should be signed by all team members.

Although individual SDWT charters will vary, they should be consistent with the philosophy expressed in the national Article 52 Vision and Mission statements, and the expectations outlined in this guide.

For additional information on strategic planning (including development of Vision and Mission Statements), see Appendix B.

## **B. Develop Team Goals**

After completing the vision and mission statements, the team will continue the development of their strategic plan. This plan will describe goals, objectives and tasks for the team.

**Criteria for Effective Goals:** *How to Dance the Rumba with your Customers!*

### **R - Reasonable**

Your customers, both internal and external will make demands and have expectations. The team must identify what is reasonable, especially in terms of regulations, rules, laws, etc. A goal that is unreasonable will only de-motivate.

### **U - Understandable**

The goal must be clear to all team members, leadership, customers and stakeholders. If everyone doesn't understand the goals the same way, there will be problems in all other phases of trying to achieve it and measure progress.

### **M - Measurable**

The goal, once it is clear to everyone involved, must be measurable so that everyone will know when progress is being made toward achieving it. Without the ability to measure improvements, there is no reason to have the goal.

### **B - Believable**

The goal must be reachable, or possible, to attain. If the goal is too big of a stretch for the team at the current time, it will not motivate anyone to attempt to achieve it.

### **A - Affordable**

The resources for striving to achieve the goal must be available and affordable. Resources include time, people, money, equipment, etc.

In addition to including effective goals, the Charter should outline specific objectives to be achieved through transition to the SDWT environment. For example:

- Safety and service indices at or better than the baseline measurement
- Customer service: delays, efficient routing, accommodation of requests
- Operational errors and deviations
- Resources used at or below the baseline level (e.g., overtime)
- Increased training
- Increased effectiveness of communication
- Improved response to employee satisfaction surveys

### **C. Determine Roles of Individual SDWT Members**

As facilities transition into the SDWT environment, each individual will assume new and different roles. These roles will evolve as determined by each Team. In the initial stages of development there will be a Supervisor on the team. As the Team matures we envision this position transitioning to a non-management function.

**Supervisors:** As members of SDWTs, Operations Supervisors focus more on a performance management role. Supervisors will engage in operational oversight, as opposed to watch-standing. With increased Controller In Charge usage, there is an additional resource to assist the Operations Supervisors in these types of roles. This transition will allow supervisors to become more productive while reacquainting them with the technical needs of their individual employees. With this knowledge, supervisors can become coaches, mentors, support leaders, and teachers. In addition, outside of their team role they will be more directly involved in management decisions.

In their new role, supervisors:

- Become skilled teachers, coaches, and mentors
- Are a source of technical expertise
- See their jobs as almost totally people-oriented
- See themselves as facilitators rather than decision-makers and rule-enforcers
- Become skilled in empowering by providing SDWT with information, knowledge, skills, decisions, power, etc.
- Become skilled at listening to people versus telling them what to do

- Become skilled at asking what we can do differently and better
- Spend time removing barriers across functions that hinder frontline people and eliminating unnecessary procedures and paperwork
- Are able to solve problems on the spot instead of passing them up or down
- Are good role models, modeling the behavior they want others to do
- Are visible leaders, who is available to the team
- Are open, honest, and worthy of trust
- See team mistakes as necessary learning
- Encourage risk taking and creativity
- Are motivators, providing recognition and support
- Accept change, seeing it not only as a challenge but also as an opportunity to make things better
- Are flexible, open to new ideas and other ways of doing things

**Controllers:** While participating on SDWTs, Controllers become key players in the management of their facilities, to include the development of personal and peer technical/professional training plans. Controllers will be more engaged in assisting one another. This fundamental role change will facilitate a team environment in which controllers have a stake and play an active part in improving work quality. Those who work side by side every day are in the best position to gauge whether or not a colleague is working at his/her professional best. We believe that peer controllers may be in the best position to assist in bringing about changes that facilitate professional excellence.

**FAA/NATCA Leaders:** The Facility/Division/Headquarters Leaders need to facilitate the implementation of SDWTs and the associated procedures and techniques that are developed by the supervisors and controllers. All leaders must develop a focused message that is consistent with the vision and mission and that supports the methods implemented at the local level.

The long-term goal of this effort (which can take from 2-3 years) is to transition into a total teamwork environment, where bargaining unit employees participate in technical functions related to the operation of the facility. The role of staff will expand to include a broader perspective concentrating on teaching, coaching, and coordinating functions designed to develop and tap the controller work force as a growing resource capable of meeting the demands of the future. Expanding the roles and responsibilities of all operational and support staff personnel will provide managers

with additional resources for improving the efficiency and effectiveness of the overall facility operation.

**Individual Roles:** Everyone on the SDWT has a larger, broader role than they have had in the past. Several functions will have a designated backup or alternate, and positions will rotate periodically. In general, the individuals will be accountable to the team as a whole, and rely on it for their support.

### Examples of Team Roles

- **Coach:** Someone, such as the supervisor, who is able to guide the team through new experiences, train for new skills, provide a big picture view of the team's position and help the team learn how to get unstuck when it faces challenges.
- **Team Leader:** A member of the team who ensures that the goals are visible, the agenda is being met and the communication facilitated. An effective team leader works to maintain the team's focus on this challenge. Initially, the Manager and FacRep will select the team leader. Eventually the team leader will be selected by the team.

Coach	Team Leader
Usually the supervisor	Should usually be the best "people person", not necessarily the most technically-experienced person
Aligned with management	Not aligned with management
Held responsible for output of team	Not held directly responsible for output of team
Involved more at beginning, less as team matures	Often appointed by leadership at first with subsequent rotating leaders selected by the team
Provides general parameters, training, resources, information, performance feedback and encouragement	May disappear as a position, becoming more "floating" or functional as team matures
Does not do for the team what the team can do for itself	Does not do for the team what the team can do for itself

\* 1994 Career Track "Implementing Self-Directed Work Teams"



## **D. Identify Functions to be Performed by SDWT**

Conduct an assessment of the functions to be performed by the SDWT. The following table contains examples of tasks and functions to be considered. Each facility or area transitioning to SDWT(s) should prepare a similar list of functions, in order to answer the following questions:

1. How is each function performed today?
2. How will it be performed in the SDWT environment?
3. What needs to be accomplished to transition to SDWT assumption of function (e.g., training requirements)?

<b>Function</b>	<b>Current Work Environment</b>	<b>Self-Directed Team Environment</b>
<b>Air Traffic Control Services</b>	ATCS	ATCS
<b>Position Assignment</b>	OS/CIC (or break board)	SDWT determines process for position assignment
<b>Leave Approval</b>	OS/CIC (OS-only in some facilities)	SDWT determines resource needs and process for leave approval (consider impact of CBA and local agreements)
<b>Awards</b>	OS recommends/ATM approves	SDWT approves, based on established boundaries
<b>Schedule</b>	BUE preparation w/ OS approval, guidance from ATM/FacRep	SDWT responsible for scheduling
<b>Performance Appraisal</b>	OS	Team-based 360-degree ratings for all team members
<b>Informal Discipline</b>	OS	Full SDWT involvement in developing process for handling informal employee issues (including EEO), Professional Standards review process
<b>Formal Discipline</b>	OS	No change
<b>Evaluation</b>	Criteria set externally	Develop additional criteria for self-evaluation by team (including customer involvement)
<b>Customer Interaction</b>	Handled by ATM/ FacRep or “area” teams	SDWT assumes responsibility for developing customer interface processes (including interaction with adjacent facilities)
<b>Combining/Separating Operational Positions</b>	OS/CIC, or as determined locally	SDWT determines process
<b>Developmental Training (OJT) assignments</b>	OS/training team	SDWT determines process, more involvement from entire team
<b>Operational Errors</b>	ATM assigns IIC, determines whether to convene review board	Investigation: No Change OE Prevention: SDWT responsibility
<b>Area Assignments and Transfers</b>	ATM/FACREP, CBA and local agreements	No Change
<b>Responding to User Contacts (calls from pilots)</b>	ATM/OS	SDWT needs awareness of issues/complaints
<b>Traffic Management</b>	TMU/OS/CIC	TMU may be included on or involved with SDWT
<b>On-the-Spot Corrections</b>	OS	SDWT responsibility, team members and/or team leaders make corrections
<b>Career Development and Training</b>	OS, if at all	SDWT responsible for professional development and team development

**NOTE:**

- Not all functions on this list apply to every type/level of facility.
- In some facilities, SDWTs may have responsibility for a limited number of the functions listed above, with the remainder being accomplished by functional teams at the facility or area level.
- The scope of functions performed by the SWDT may evolve over time. A team that initially performs a limited set of duties can be expected to assume additional responsibilities as the team develops. For example, a SDWT may at first be delegated the same level of authority over budget issues as currently exercised by management at the same organizational level. The same team may eventually assume expanded responsibility and accountability over budgetary matters.

## **E. Determine Training Needs**

The team should begin by assessing the current skills and knowledge of its members. Next, gaps between the current skill level and the level necessary for peak team performance should be identified. The team would then identify areas of development necessary (e.g., awareness training, technical skills, interpersonal skills, problem solving skills, administrative procedures skills, etc.). The team will need additional training as it continues to grow, diversify, and add new members. They will also need to be able to provide members with new or enhanced skills as they progress.

**Awareness Training:** Awareness training gives employees an overview of what SDWTs are all about, why the organization is adopting them, and how employees can benefit personally from team membership.

Each level should provide training for the one just below it (depending on the size of the facility). Accordingly, the manager and facility representative would train the leadership team, the area manager and representative would train supervisors and team members, etc. Awareness training might include:

- Vision and Mission statements
- Background on the decision to shift to teams
- Definition, structure, and function of self-directed work teams
- Benefits to individuals and the organization
- Stages of team development
- Changes in roles and responsibilities

- Processes and procedures for work teams
- Possible concerns and obstacles
- Future training requirements for team members
- Organizational support and available resources
- Overview of the implementation plan

**Technical Training:** Technical training is training that is related to the operation. (i.e., Quality Assurance, Training, Airspace and Procedures, etc.) Technical training usually is a mix of formal classroom instruction, on-the-job training, and (when the team matures) member-to-member tutoring.

**Interpersonal Skills Training:** Team members need to be effective communicators both one-on-one and as a member of a group. Additionally, to analyze the team's challenges and to develop effective solutions teams need to learn a consistent, basic approach to problem solving. Basic interpersonal skills training should begin either before the teams begin their work, or as a part of their start-up efforts. (For example, developing a charter while receiving guidance on effective communication skills can be useful as well as time efficient.) The following types of training should be provided as a minimum to team members:

- Team Dynamics
- Communication Skills (to include Giving And Receiving Feedback)
- Effective Meetings/Facilitation Training
- Team Building
- Problem Solving/Conflict Management

**Administrative Training:** Team members need to know how to perform administrative tasks traditionally accomplished by supervisors and support staff. More specifically, teams need to learn how to deal with other parts of the organization. (i.e., administrative, airway facilities, training, automation, etc.). Additionally, future training could include peer performance appraisal training, peer coaching, work process analysis and redesign, business planning, etc.)

The key to an effective training program is to develop a plan that is comprehensive enough to meet the both the team's short and long term needs and yet flexible enough to change as the team matures. While it is important to provide training and development opportunities to the team it is equally important to allow the team

members the time to apply the knowledge and skills gained in each training situation before moving on to acquire more.

## **F. Develop Evaluation Process**

Evaluating, or measuring, the team's performance is an important factor in determining the success of the team. Performance measurement provides the team with focus, direction, ownership and unity. It also provides a way for the team to receive meaningful feedback and to be held accountable.

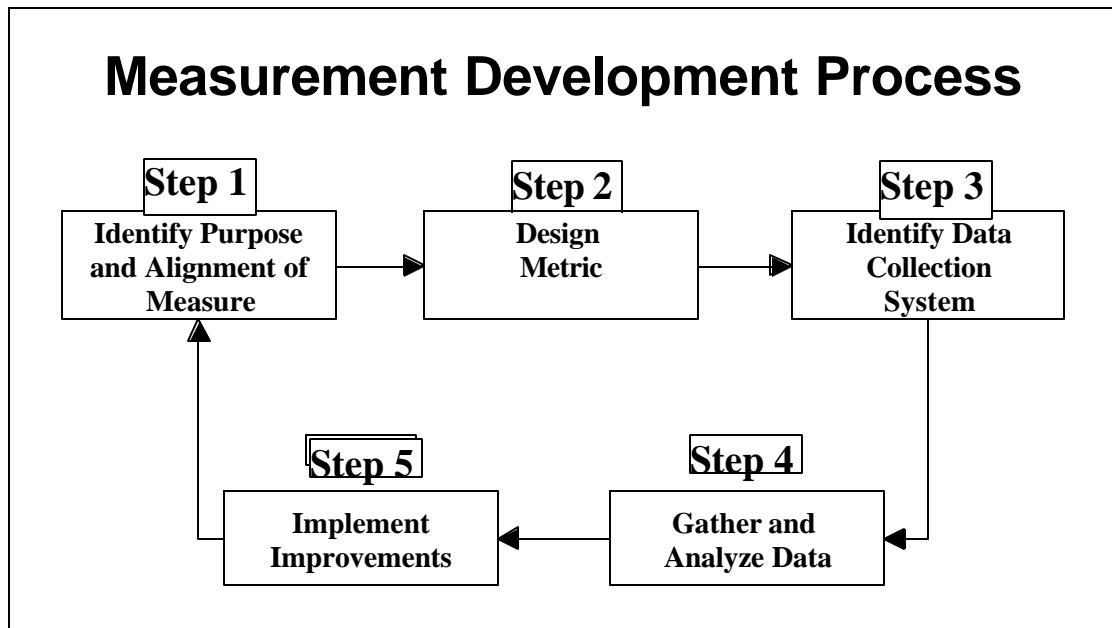
Performance measurement includes determining what to measure, how to measure it, gathering and analyzing data and implementing any improvements indicated from the data. At that point the cycle begins again with the improvements that have been made and the team determines once again what would be meaningful to measure.

### **Characteristics of Effective Metrics:**

- Aligned with organizational goals
- Narrowed to the "Critical Few"
- Customer-focused
- Able to motivate positively
- Designed with a system's perspective
- Strategic and proactive

Prior to the implementation of SDWT(s), each facility or area shall develop metrics to be used in evaluating the impact of the new team structure. Those criteria will be used for:

- Developing a facility/area evaluation checklist
- Conducting baseline evaluation prior to implementation of SDWTs
- Planning and scheduling periodic follow-up assessments
- Conducting team effectiveness ratings at the end of each team meeting



### ***Step 1: Identifying the Purpose and Alignment of the Measure***

The first step in developing a metric is to determine what it is you're trying to change, or accomplish, with the measure. In other words, what is the purpose of the metric? Since measures should motivate others to perform in a way that has a positive impact, this question is a very important one. In considering this, take into consideration the goals of the larger organization. The intended purpose should be in alignment with (in support of) the organizational goals.

### ***Step 2: Designing the Measure***

The first step in designing the actual measure is to determine what it is you want to measure. Measures can be applied to a process (a group or sequence of activities that produce a product or service), or to the result itself (whether that result is a tangible product or an intangible service). To have a broader perspective, both the process and the result can be measured as well.

If you are measuring a process, the focus could be on the input quality, degree of uniformity or standardization of the product or service, cycle time per step in the process, sources of error, causes for errors or delays, levels of productivity, or cost/benefit information on specific activities.

If you are measuring the results, the focus could be on the extent to which the product or service meets customer expectations and requirements. Measuring results provides data on customer satisfaction, performance level of the service, quality of the product and delivery time and costs.

Regardless of what you're measuring, an effective measure has three components: What to measure, the target and the timeframe.

*Example: By 2007, reduce the number of fatal aviation accidents by 80%.*

What is being measured: the number of fatal aviation accidents

Target: reduce by 80%

Timeframe: by 2007

Targets can be numeric, as with the example above, or they can be descriptive. If they are numeric (quantitative) they are typically expressed as numbers or percentages. If they are descriptive (qualitative) words are used to describe the results. The words identify who will judge the performance and what factors will be used for the evaluation.

### **Step 3: *Identify the data collection system***

Once the team has identified the purpose of the measure and designed it to provide useful information, it is necessary to identify the data collection system that will be used. Often these systems are already in place and produce results that may be readily available to the team. If a collection system, such as an instrument or data base does not exist, a new one must be developed or adopted from another source. (See Appendix C for Assessment Instruments.) Be sure to look at the resources available for such a step as it could outweigh the value of the measurement.

The following (in bold) are examples of areas that could be measured, with bullets under each heading to indicate possible sources of data in that area.

#### ***Operational Quality:***

- Quality Assurance Reports
- Operational Errors/Deviations
- TCAS Event Reports
- Near Mid-Air Collision Reports
- Accidents
- Unsafe Condition Reports
- User complaints about ATC procedures

#### ***Operational Efficiency:***

- Delays, etc., measured by/from ATCSCC, Adjacent Facilities
- Local Airways Facilities Unit Assessments

***Customer Satisfaction:***

- Surveys
- Customer meetings
- One-on-one contacts

***Administrative Efficiency:***

- Facility evaluations conducted by regional and headquarters Quality Assurance organizations
- SDWT member assessments
- Process Improvements (e.g., elimination of non-value added tasks)
- Developmental training measurements (time to certify, percentage of certifications/failures, etc.)

***Morale:***

- Past SFA data
- Recent Air Traffic Employee Attitude Survey data
- Grievances
- ULPs
- Hot line Calls
- EEO Complaints
- Accountability Board Complaints
- Hostile Workplace Complaints
- OSHA complaints
- User complaints (due to perception of poor attitude by ATC)
- Bidders wanting to leave or come to facility, and why
- Sick Leave Abuse
- Resignations
- OWCP, OSHA, CA-1, CA-16 Filings



In addition to those areas provided as examples, consider “Organizational Communication” as well as “Training.” It may be necessary to develop measures to determine how effectively information is disseminated to all facility employees and how timely communication and training take place, etc.

#### **Step 4: *Gather and analyze data***

With the sources of data identified, it is now possible to gather and analyze the information. As with the collection systems, data needed is frequently already being gathered and analyzed by the organization and may just need to be accessed by the team to be useful. Learn what is already being done before spending your own time and energy to gather and analyze your data. If the team finds that it is not being done, strongly consider asking for outside, expert assistance, as the interpretation of data can be a complex undertaking.

#### **Step 5: *Implement improvements***

One of the main purposes and benefits of measuring performance is to improve it. Once the data has been analyzed, the areas for continuous improvement can be identified and plans put in place to implement the recommended changes. If the changes are large or complex, seriously consider seeking outside guidance and support to increase the potential for success. Additionally, any recommended changes should certainly be discussed with leadership and supported by them.

### **G. Develop Communication Plan**

Enhancing communication and information sharing has become critically important in an era of ever shrinking budgets and staffing levels. As middle layers of management and traditional hierarchical structures change, teams of individual workers are being called upon to take on more and more tasks previously performed by others. To realize the full benefit of teams, each employee and work team must be an integral part of a larger communication network that enables them to share information across the organization at the team, facility, regional and even national level.

For the purposes of this national test, three elements of communications are emphasized:

1. **Sharing/Recording Information:** One of the greatest benefits of teaming is the knowledge that comes from sharing information with each other. Often times, team members are surprised at the level of knowledge of their coworkers, and it does not take long before the value of the information that was once hidden becomes clear to the team. However, if the information that is shared is not documented or recorded in some way, it can be quickly lost. New team members, for example, will not be able to benefit from an information sharing process that occurred before they arrived. This information must be recorded in way that provides for easy access at a later time.

2. **Problem Solving:** Moving to teams also requires workers and teams to change the way they view their connection to the larger organization as well as their ability to access and share information. Existing technology and communications systems can be used to bring people and teams, who are facing similar operational issues, together to solve problems. Tapping the knowledge of other members of the workforce across the nation can put more knowledge and experience at one's fingertips than could ever be attained in a lifetime of work.
3. **Best Practices/Lessons Learned:** Some of the most important information to capture within a team environment are best practices and lessons learned. The description of knowledge that has been obtained through direct experience can be invaluable to other team members, to other teams and to the larger organization. Sharing best practices can quicken the learning process and provide new insights into old problems. Communicating lessons learned can help many others avoid making the mistakes of only a few.

**Communications Plan:** Each team should develop a communications plan to facilitate the flow of timely and useful information to all team members and other involved personnel. (See Appendix D.)

## V. Supporting Teams

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### A. Stages of Development

In order to effectively support a team, it is important to note that SDWTs do not happen overnight. In fact, teams develop over time dependent upon training and the frequency and quality of the interaction as a team.

Teams progress in predictable stages, with increasing levels of efficiency, effectiveness, responsibility and autonomy. In the earlier stages the team will not be high performing, but rather somewhat inefficient. However, it is important for the leadership to be aware and anticipate these developments while the team transitions to actually becoming self-directed.

Several models of group development are available in the literature. Tuckman (1965) summarized the results of over fifty studies into the following four-stage model:

*Stage I, Form*, characterized by testing and dependence;

*Stage II, Storm*, characterized by intra-team conflict;

*Stage III, Norm*, characterized by the development of team cohesion; and

*Stage IV, Perform*, characterized by functional role relatedness.

#### Stage I: Form

During Stage I, team members discover what behaviors are acceptable to the group. For newly established groups, this stage is the transition from individual to member status. For groups with new leadership, mission, or members, this stage is a period of testing behavior and dependence on formal or informal group leadership for guidance in a newly unstructured environment. The group members may be:

- Hesitant to participate
- Questioning purpose, tasks, and roles
- Low trust
- Low commitment
- Working relationships are guarded and cautious

## **Stage II: Storm**

During Stage II, team members become hostile or overzealous as a way to express their individuality and resist group formation. Members recognize the extent of the task demands and respond emotionally to the perceived requirements. Group members may:

- Form subgroups
- Focus on personal or subgroup goals/agendas
- Be confused about what to do and how to do it
- Be emotional, especially about change
- Be in conflict, experiencing members' worst sides

## **Stage III: Norm**

During Stage III, members accept the team, team norms, their own roles, and idiosyncrasies of fellow members. Emotional conflict is reduced by patching up previously conflicting relationships. Other characteristics of this stage include:

- An attempt to achieve maximum harmony by avoiding conflict
- A high level of intimacy characterized by confiding in each other, sharing personal problems, and discussing team dynamics
- A new ability to communicate emotions constructively
- A sense of team cohesiveness with a focus on common goals
- The establishment and maintenance of team boundaries
- Moderate work accomplishment
- Increased trust in the group

## Stage IV: Perform

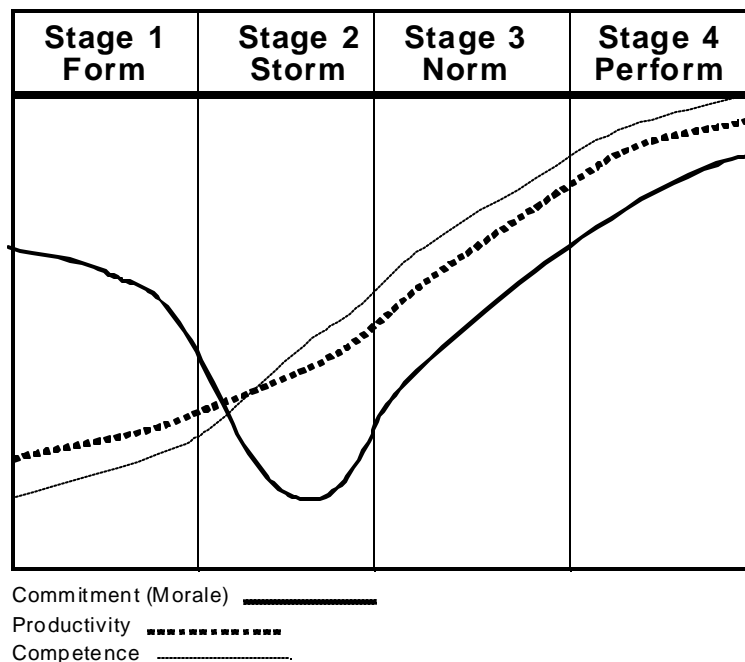
Now that the team has established its interpersonal norms, it becomes an entity capable of diagnosing and solving problems and making decisions. Stage IV is not always reached by management teams. Other characteristics of this stage include:

- Members experience insight into personal and interpersonal processes;
- Focused, clear goals are agreed upon;
- A great deal of high quality work is accomplished.
- Synergy
- A high level of trust and commitment to the team and the organization

## Implications of Group Membership

Because the form, storm, and norm stages may result in less than optimal output, it is tempting to try to rush through or avoid these stages and to hope the group can thereby achieve peak productivity. Although tempting, this idea is not productive. Just as individuals go through predictable stages of growth depending on age, experience, maturity, and other factors, groups go through predictable stages, the duration of which depends on factors such as individual and team maturity, task complexity, leadership, organizational climate, and external climate.

### Group Effectiveness and the Stages of Group Development



Throughout the stages of development, the leadership must work to support the team as a whole. To sustain a SDWT, the leadership must routinely complete internal assessments and periodically review the Team's planning in an effort to build the Team's capabilities. Leadership will help the Team build its capacity to sustain momentum by:

- Focusing on the future and continually asking how the Team plans to achieve future goals
- Continually reinforcing internal communications and sharing as much information as possible
- Ensuring all team members are involved in planning, carrying out and evaluating improvements
- Maintaining an atmosphere where team members feel free to express their feelings, creating ways to channel negative feelings into positive discussions, decisions and changes
- Rewarding team members for participation, improved performance and customer satisfaction
- Ensuring available resources to accomplish tasks
- Developing a monitoring system to ensure the team is always moving in the right direction

The Team environment will require a variety of support across all levels of the organization. Greater empowerment brings with it greater authority, responsibility, initiative and accountability. It also places new demands on the leadership role within the Team as well as those involved with management and labor. All must make changes as the team increases their levels of empowerment and performance.

As noted earlier, a Team will be challenged at different points within the development process, not only by those external to the Team, but by resistance from within the Team itself. To overcome these obstacles, the Team must rely on their team skills training (i.e., team building, and trust building and problem-solving) and assistance from the leadership.

## B. Stages of Change

To support the SDWT, it is not only important to understand the Stages of Group Development that the team as a whole will progress through, but also to realize that each individual - including yourself - will be moving through the Stages of Change.

Everyone adapts to change differently. Some may find moving to teams exciting, while others find it aggravating or even frightening. Regardless of your perspective, the change is like a rock being thrown in a pond; it causes ripples throughout your life, both on the job and off. These ripples can affect people physically, emotionally and even intellectually, and each will show them differently. The key is to learn the stages, notice the signals, and accept them as a natural result of the changes.

The natural, predictable stages of change are: Denial, Resistance, Exploration, and Commitment.

**Denial:** Denial is the first response to any significant or unexpected change. It gives us a brief moment in time to protect ourselves from being overwhelmed by refusing to acknowledge or accept the information. This is true even with a "positive" change, like being promoted or winning the lottery! With changes that are seen as less than positive, denial can be maintained for longer periods of time, but eventually the impact that the change is here to stay is felt and a personal response is made. When in Denial a person may say things like "This won't last", "This can't be happening" or "That won't happen to me".

**Resistance:** Resistance is the response that typically follows Denial. In this stage, the individual has realized that the change really is happening, and he/she frequently responds emotionally in the form of fear or anger. Personal distress levels rise, time is spent looking for someone or something to blame, and complaining about the situation is commonplace. This stage is the most easily identified because of the highly emotional nature of the responses and the amount of time and energy spent in trying not to embrace the change. The fear of the unknown, of losing security, money, status, etc., can all be powerful drivers for resisting the change.

**Exploration:** After the Resistance period of struggle, people usually begin to peek into the future to figure out how to make the change work best for them if they're doomed to accept it. Once this challenge is faced, and energy is redirected toward a more positive future-focused effort, people find a way to excel in the new environment and the crisis has passed. Exploring new ways of accomplishing things, communicating, etc., becomes exciting and gratifying.

**Commitment:** Finally, the individual has successfully adapted to the change and enters Commitment. The new course of action is the focus, and the attitudes are positive. It is usually far more comfortable to feel committed to a course of action, be certain of your direction and know exactly what it will take to be successful. It is exactly this sense of commitment that makes it so difficult to embrace the next

change. The more often and more successfully these transitions are bridged, the more natural the stages seem and the easier they are to work through.

## **C. Effective Team Characteristics**

With support from leadership, the team members will move through the initial stages of change and the team as a whole will mature. Along the way, it is crucial that the following characteristics are recognized, developed, and reinforced. As it matures, the team will demonstrate more of the following qualities and characteristics:

- Clear sense of purpose
- Informal climate
- Equal member participation
- Open and honest communication
- Trust
- Civilized disagreement
- Clear roles and work assignments
- Shared leadership
- Good external relations
- Style diversity
- Ability to self-assess and self-correct

During the initial implementation of SDWTs under Article 52, the Regional Leadership (the AT Division Manager and NATCA RVP) will work to support the activities of the teams. The final day of the implementation kickoff meeting in Memphis will include time for the facility leaders to meet with their respective ATD and RVP to identify the needs of their facility and to establish a method for provision of necessary support from the Air Traffic Division during implementation.

In addition, each test facility has been assigned both a NATCA and a management contact person from the Article 52 workgroup. This workgroup pair will assist assigned test facilities with implementation and training issues and will also serve as a information conduit to the teams in other test facilities. The support provided from the two Article 52 workgroup members to test facilities will be dependent on the needs of each facility. This can range from provision of one-on-one guidance to the facility leadership pair to direct involvement in training at the facility.

The support from the Article 52 workgroup is for the initial implementation of this test and is designed to help the teams overcome obstacles to being successful. The workgroup will also collect the lessons learned from all test facilities and develop implementation plans for potential future deployment of SDWTs at other air traffic facilities.



## D. Training

In order to demonstrate the characteristics noted previously, it is almost certain that training and development will be required.

For some members, this could take the form of individual, informal guidance or mentoring. For others, it could include self-directed activities such as reading, studying, or completing distance learning modules.

For some skill building, the team will require training for all members in the same session, particularly when interpersonal skills are involved. The following are areas to consider for intact team training:

- Trust building/team building
- Listening/giving and receiving feedback
- Problem solving/resolving conflict
- Strategic planning

Realize that leadership, as well as the team, may need training and development to excel in the new roles. Skill building in the areas of inquiry, listening, coaching, delegating, and trusting may be needed.

(For training and development resources, see Appendix E.)

# Appendix A: Team Models

## Concepts for Large Facility SDWTs

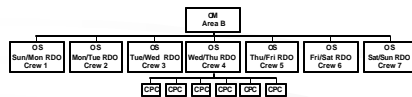
- Selected test areas in the facility.
- Seven "crews" to five "teams".
- Operate units like individual business teams, each with a Charter and specific objectives.
- Three phase approach.
- Roles and boundaries established for each phase of test.

## Facility Tests

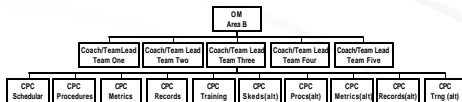
- Conduct test in selected facilities/area(s) within a facility.
- If within an area in a large facility:
  - Permits movement of volunteers/non-volunteers to other areas within facility.
  - Allows assessment of test outcomes between test areas and non-test areas.

## Self Directed Work Team Crew Based Model

### Existing Seven Crew Model



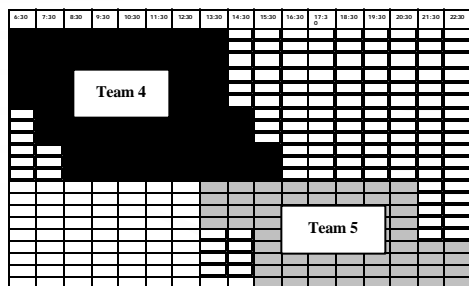
### Five Team Model



## Five "Teams"

- Team members with same weekly schedule.
- Approx size of team 7-14 - including coach, team leader, SME leads, and alternates - enough to staff a full shift.
- Every team member has a support function.
- Each team has "ownership" of specific shifts each week.

## Monday Shifts - Five Team Schedule



## Weekly Schedule - Five Teams

	Sun	Mon	Tue	Wed	Thu	Fri	Sat
Team One	RDO	RDO					
Team Two			RDO	RDO			
Team Three					RDO	RDO	
Team Four						RDO	
Team Five	RDO						RDO

Each team responsible for shift coverage on the shifts shown below.

	Sun	Mon	Tues	Wed	Thu	Fri	Sat
Day Shift	Team 3	Team 4	Team 4	Team 5	Team 1	Team 1	Team 2
Swing Shift	Team 4	Team 5	Team 5	Team 1	Team 2	Team 2	Team 3
Mid Shift	Team 2	Team 3	Team 3	Team 4	Team 5	Team 1	Team 1

### Team 5 (Mon-Fri) schedule

- Monday - team briefing, swing shift
- Tuesday - swing shift
- Wednesday - day shift
- Thursday/Friday - OJT conducted off crew, some team members cover shifts on other teams, 2 midshifts covered Thurs evening, admin/support functions

### Staffing Resources Premise

- Old Premise - entire area treated as a single resource for leave/overtime/credit hours, etc.
- New Premise - each team has sufficient numbers to staff three shifts per week plus mids. Use of CPCs from other teams requires exchange of resources between teams - ex:staffing credits,overtime funds.

### Function Based Team Model

This approach is meant to address those facilities where current scheduling does not support crew based SDWT. It is a first step in achieving a team based organization.

### Current "Crew" Structure

- Seven crews, without common Regular Days Off (RDOs).
- Crew sizes from 6 to 10 ATCS plus OS.
- Controllers are assigned to a supervisor's crew based on equal distribution among crews.

### Current "Crew" Structure

- Developmental controllers are assigned to a training crew with the training supervisor.
- Individuals from several crews staff each shift.
- Briefings are conducted as area briefings since crews do not have common RDO schedules.

### Weekly Schedules - Seven Crews

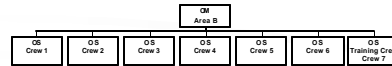
- Watch schedule is comprised of a set number of fixed RDO schedules and rotating RDO schedules.
- Five days/40 hrs of ATC per week. Fit in "additional duties" when traffic permits.
- Each workday from week to week is made up of different employees due to the schedules with rotating RDOs.

## Weekly Schedules - Seven Crews

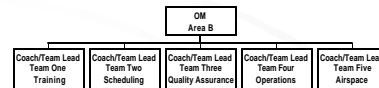
- RDOs may or may not be common between crew members.
- The area is the smallest common unit.

## Function Based Teams

### Seven Crew Model



### Five Team Model



## Five Function Based "Teams"

- No change to current scheduling practices
- Team members have same function assignments, rather than a random crew assignment based on equal distribution.
- Approx size of team 5 to 12 - including coach, team leader, and SME leads.

## Five Function Based "Teams"

- The number of teams is based on the number of functions to be performed.
- Every team has a support function.
- Each team has "ownership" of specific functions assigned.

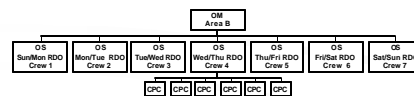
## Individual Roles

- Everyone on the team has a role, above and beyond direct ATC duties.
- Decisions of the function based teams will affect the entire area.
- Individual assignments to the function based teams are rotated periodically.
- By the end of the third phase of the project, each employee will be trained to perform a role on every team.

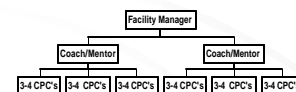
## Self Directed Work Team

### Small Facility Model

#### Existing Seven Crew Model



#### Two Team Model



# Appendix B: Strategic Planning

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## Introduction

This paper discusses a straightforward method for accomplishing strategic planning. Terms used will be defined and explained. Some strategic planning processes may use different terms (e.g., goal instead of vision), but they are all saying the same thing.

Strategic planning is an extremely important activity that should be performed by every organization, team, work group, etc., regardless of its size. Most of us are good at doing tactical work (i.e., that which has to be done today) but very uncomfortable with planning ahead. Yet, in today's environment of dramatic change strategic planning is more important than ever. In the private sector, it is the companies that are being proactive (strategic) rather than reactive (tactical) that are surviving and prospering.

Simply stated, strategic planning is taking a six to eighteen month look ahead and deciding where you want to be and what you want to accomplish by then. In the past, strategic plans were written for five, even ten years in the future. Today, because of the rapidly changing environment and technologies, three years is the absolute maximum that most organizations can look at. The theorists suggest that strategic planning is clearly a "leadership" function in contrast to "management" which addresses the day to day activities.

Most large organizations begin with a **VISION** statement that is best articulated by the leadership of the organization. A **MISSION** statement that becomes the basis for the strategic plan follows this. This sets the goal and path for the rest of the organization. Work units and teams are then charged with creating their own **VISION** and **MISSION** statements that are unique to their organization but must reflect the organization's **VISION** and **MISSION** statements.

## The Strategic Planning Process

Before attempting to write a vision statement, the leadership of the organization should spend time studying their own organization's strengths and weaknesses. Then they should both define who their customers (both internal and external) are and study their customer's needs. And lastly, if appropriate, they should study their competition.

## The **VISION** Statement

A **VISION** statement should reflect a "stretch" for the organization and yet be practical. The **VISION** statement should have three components: **PURPOSE**, **PEOPLE**, and **PASSION**.

The **PURPOSE** part of the statement should reflect the direction that the leadership sees the organization driving towards.

The **PEOPLE** part reflects who the **VISION** is for and usually reflects both the organization's membership and customers and possibly stockholders.

The **PASSION** part reflects the "stretch" and should be bold enough for people to rally around.

An example of a **VISION** statement with these three components is taken from the Federal Aviation Administration's **VISION** statement:

To provide the finest aviation service in the world, as an integral part of the total U.S. transportation system, and be the best Federal employer, continually striving to meet the needs of our customers and our employees.

A **VISION** statement can take a long time to generate. It was said that General Electric took nine months to create theirs. Try not to get frustrated.

The **MISSION** Statement:

A **MISSION** statement should have these parts to it:

1. Why do we exist? (Can be taken from the **VISION** statement's purpose.)
2. Where are we going?
3. How will we know when we get there?
4. What will be our rewards?
5. What resources do we need?

An example of a hypothetical **MISSION** statement is:

The "We are Your Friend" National Bank was formed to appeal to the smaller customer (accounts under \$500.00) and corporations (under \$5000.00) and to provide these accounts with the same service given larger accounts.

We intend to have our bank become the first bank of choice for the account types described above.

We wish our bank to increase small accounts by 15% the first year and 10% for the next three years.

By achieving the above, our bank will be recognized in the banking industry as a Triple A rated bank, our employees will achieve job security and satisfaction, and our customers will be satisfied lifetime accounts.

We will achieve this mission by providing our management and staff with the necessary skills and knowledge for them to achieve the ultimate customer and banker relationship.

## **The Customer Needs**

As noted above, the customer needs should have been studied prior to writing the **VISION** statement. These needs are now looked at in greater detail and listed by customer, the customer's specific needs, and how your organization can meet these needs. This also is a very long and laborious process, but essential to strategic planning. What works well is to list your customers in one column, list your customer's needs in a second column, and in a third column, list how you can meet their needs. If you cannot meet a particular need, it must be removed from your list. Completing the third column is usually more efficient if done by an Ad Hoc group.

## **The Organization's Goals**

The next step is to review the methods that you identified for meeting your customer's needs. You should try to group them into categories (goals). A goal is a "what statement." For example if you identified that a number of your customers need more information about your organization and a second need is who to contact, you may group these needs under "communication". Try and come up with no more than eight categories (goals), fewer are better. The reason for this is you do not want to take on too much. A strategic plan that has too many goals to cannot be accomplished will only frustrate your organization.

Once the eight or less categories (goals) are obtained, you will flesh them out. For example, communication could be stated as "There is a need to provide detailed information about the function of our organization and single points of contact for all our clients."

You may have to do a feasibility study to see if you have the necessary resources to do this or even to see if this is something your customers want. If you have done a good earlier survey of customer needs, this step will be unnecessary.

The last thing you need to state is how the successful achievement of this goal will be measured. For example, you may state "The successful achievement of this goal will be when we have provided this information to all our customers and they give us feedback that their needs have been met."

## **The Organization's Objectives**

The next step is to determine how the goal will be accomplished. For example, you may determine that a toll-free number is needed, or a video about your organization, or that an on-line data access network such as e-mail is required.

At this point you will determine the resources needed to accomplish the goals and may find that you have to do another feasibility study that is more specific than what was done previously.

Measures of success should be stated for each project, which in fact, will probably be an event, a process, a program, etc. The people responsible for completing these projects should be identified and start and completion dates should be stated. If the activity is ongoing, the periods should be stated, such as bimonthly. At this juncture, ad hoc committees should be formed and headed by a goal "champion." People solicited for these teams should have the expertise and passion for the goal and objectives.

## **The Organization's Tracking System**

As difficult as strategic planning is, most experts will tell you that now the hard work begins. Many things will happen to interfere with the projects. Here is where the leadership is called upon to keep the projects moving. They must remove roadblocks, help with resources, but most of all, keep the committees motivated to complete the goal. Recognize that because of circumstances beyond the leadership's control, the goals may have to be curtailed or even abandoned.

It is suggested that a tracking sheet be established that lists the status of each goal. These status sheets should be reviewed and updated every two weeks.



## Summary

Strategic planning is a very necessary, albeit, difficult task. It should not be rushed into without a strong commitment from the organization that they are ready for it and willing to spend the time and energy to do it. If the organization can get the support of a facilitator that is well versed in strategic planning, that person can keep the group on track.

Typically, it will take a full day to complete a **VISION** statement and another full day to complete a **MISSION** statement. If prior work has been done on your organization's strengths and weaknesses, customer needs, and competition, the time could be shortened. The customer needs will take another full day to flesh out. At this point, the work may best be turned over to an ad hoc committee. They would develop the goals and objectives. Ad hocs are then formed to implement the strategic plan.

## **Appendix C: Assessment Instruments**

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# Team Effective Rating

**Directions:** Please rate your team on a scale of 1 (*definitely does not exist*) to 5 (*definitely does exist*).

1.	There is common agreement on high expectations for the team.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
2.	There is a commitment to common goals.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
3.	There is assumed responsibility for work that must be done.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
4.	There is honest and open communication.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
5.	There is common and open access to necessary information.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
6.	There is a climate of trust.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
7.	There is a feeling that one can influence what happens.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
8.	There is support for decisions that are made.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
9.	There is a win-win approach to conflict management.	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist
10.	There is a focus on process (how the team is working together) as well as on task (what the team is accomplishing).	1 Definitely Does <i>Not</i> Exist	2	3	4	5 Definitely Does Exist

# Leadership Skills and Knowledge Self-Assessment Instrument

This instrument is intended for use by personnel in leadership positions. It is a tool for you to self-assess your present leadership skills and knowledge and to help you plan for leadership development activities.

Read the definition of each skill, knowledge (or attitude) and make a judgment as to your competency in this area. Mark the response that best describes your competency from among the three choices of FULLY (F), PARTIALLY (P), OR NOT AT ALL (NAA). After completing the self-assessment, make a list of the NOT AT ALL competencies. Number each competency on a scale of 1 to 3 as to the relative importance you feel each competency has to your present position. Use this list to begin planning your immediate development activities. A second list of PARTIALLY should also be made and ranked as before for future development activities.

***Understand People (K)***

Have a fundamental knowledge of different types of personalities.	<b>F</b>	<b>P</b>	<b>NAA</b>
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***Humor (K)***

Understand the value of humor to reduce tension and when humor is appropriate.	<b>F</b>	<b>P</b>	<b>NAA</b>
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***Communication (S)***

Have skill in expressing yourself and getting your thoughts and feelings across.	<b>F</b>	<b>P</b>	<b>NAA</b>
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***Coaching and Mentoring (S)***

Have skill in recognizing areas in others that need improvement and be able to help others improve in these areas.	<b>F</b>	<b>P</b>	<b>NAA</b>
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***Listening (S)***

Ability to listen to others generously and hear both the thought and feelings of the speaker.	<b>F</b>	<b>P</b>	<b>NAA</b>
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***Hard-Working (A)***

Have a “can do” attitude and strong work ethic.	<b>F</b>	<b>P</b>	<b>NAA</b>
---	----------	----------	------------

***Decision-Making (S)***

Ability to see all sides of a problem, consider all options, and come to a timely decision.	<b>F</b>	<b>P</b>	<b>NAA</b>
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***Desirable (S)***

Have ethics, standards, and morals that attract people to you and your beliefs.

**F P NAA**

***Credibility (S)***

Are viewed as someone that walks the talk, is honest, and trustworthy.

**F P NAA**

***Approachable (S)***

Are viewed as someone that can be talked to easily and makes people comfortable.

**F P NAA**

***Ability to Empower and Relinquish Power (S)***

Are comfortable in delegating responsibility and giving the authority to others to perform as they see fit.

**F P NAA**

***Giving and Receiving Feedback (S)***

Being able to comment constructively on another's behavior and accept comments on your own behavior.

**F P NAA**

***Compassion (S)***

Being able to treat others with empathy and understanding appropriate to the situation.

**F P NAA**

***Time Management (S)***

Ability to work effectively and efficiently.

**F P NAA**

***Power (S)***

Ability to use power when appropriate and with respect and discretion.

**F P NAA**

***Stress Management (K)***

Have an understanding of stress causes and reducers.

**F P NAA**

***Trust (S)***

Skill at being dependable, building confidence, and faithful to your commitments.

**F P NAA**

***Quality of Performance and Product (K)***

Understanding of Total Quality Management principles and practices

**F P NAA**

***Knowledge of Profession (Understanding Organizational Strategic Plan and Objectives) (K)***

Detailed understanding of the FAA and NAS System including strategic plans at all levels of your organization.

**F P NAA**

***Dispute Resolution (S)***

Ability to identify conflicts, your primary and secondary conflict resolution strategies, and to deal with conflict constructively.

**F P NAA**

***Realism (K)***

Understanding for the need to balance vision with strategy and make decisions that are reality based.

**F P NAA**

***Problem Solving (S)***

Ability to use one or more problem solving models to resolve issues.

**F P NAA**

***Creativity (K)***

Understanding the need to be creative in problem solving and have knowledge of classical creative tools and techniques.

**F P NAA**

***Visionary (K)***

Understanding the need to be visionary and how to craft a vision statement.

**F P NAA**

***Passion and Drive (K)***

Understanding the need for leaders to exhibit enthusiasm and create excitement to achieve their vision.

**F P NAA**

***Strategic Planning (K)***

Knowledge of the role strategic planning plays in leadership and have an understanding of strategic planning methodology.

**F P NAA**

***Confidence (S)***

Ability to have faith and trust in your own abilities developed through a deep understanding of your strengths and limitations.

**F P NAA**

***Mobilization (S)***

Ability to keep task forces focused by reevaluating, refocusing, rekindling, and if necessary, restrategizing.

**F P NAA**

***Risk Taking (S)***

Ability to push yourself beyond your “comfort zone” and take prudent risks.

**F P NAA**

***Motivation and Energizing (K)***

Have an understanding of motivational theory and provide an environment that will enable people to motivate themselves.

**F P NAA**

***Ability to Fail (S)***

Have sufficient confidence in yourself and others that allows you to take risks and be able to take failures in stride.

**F P NAA**

***Customer Relations (Internal and External) (K)***

Understanding of a customer supplier model and the tactics to meet customer expectations.

**F P NAA**

***Breaking Barriers (K)***

Understanding of the need to “step out of the box” and not let outdated rules and regulations stifle new ways of doing things.

**F P NAA**

***Understanding Diversity (K)***

Knowledge of why diversity on a team is an asset and how to cultivate diversity in teams.

**F P NAA**

***Facilitation Skills (S)***

Ability to manage the process component of meetings and intervene when necessary.

**F P NAA**

***Resource Utilization (S)***

Ability to identify resources and marshal them effectively to achieve strategic plans.

**F P NAA**

***Platform Skills (S)***

Ability to present in front of groups using polished presentation techniques and models.

**F P NAA**

***LMR (K)***

Have an in-depth understanding of the Union Contracts and other salient LMR issues.

**F P NAA**

***Ambiguity Functionality (S)***

Ability to manage and be comfortable in areas that are new and ambiguous.

**F P NAA**

***Group Dynamics (K)***

Have a basic knowledge of group development models.

**F P NAA**

***Writing Skills (S)***

Be able to communicate clearly and precisely using the written word.

**F P NAA**

***Team Player (S)***

Ability to work for the good of the team and not allow self-interests to surface.

**F P NAA**

***Building and Coaching Teams (K)***

Understand the need for teams and the characteristics of effective teams.

**F P NAA**

***Coalition Building (K)***

Understanding the need for building coalitions to achieve strategic goals.

**F P NAA**

***Organizational Mission (K)***

Understanding the culture of the organization and the need to align each organizational mission with the overarching mission of the total organization.

**F P NAA**

***Patience (S)***

Ability to work with all levels of the organization with the recognition that culture change is a slow process requiring patience with Union, your co-workers, and yourself.

**F P NAA**

***New Technology (K)***

Knowledge of new technology that will affect the FAA in the future and the ability to bring this technology to fruition.

**F P NAA**



# SDWT Baseline Assessment

<b>Directions:</b> <i>Please circle a number from 1 to 5.</i>					
	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
	Strongly Agree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree

- |     |  |   |   |   |   |   |
|-----|--|---|---|---|---|---|
| 1.  | There is trust between employees and supervisors.  | 1 | 2 | 3 | 4 | 5 |
| 2.  | There is trust between supervisors and manager(s).   | 1 | 2 | 3 | 4 | 5 |
| 3.  | Employees work together well and demonstrate effective teamwork.   | 1 | 2 | 3 | 4 | 5 |
| 4.  | Information is made available in a timely manner.  | 1 | 2 | 3 | 4 | 5 |
| 5.  | I have an opportunity to express my opinion about issues that affect me. I feel listened to, even if I don't always get what I want. | 1 | 2 | 3 | 4 | 5 |
| 6.  | I feel free to disagree with others without fear of reprisal or retaliation.   | 1 | 2 | 3 | 4 | 5 |
| 7.  | Individual efforts are recognized and rewarded.  | 1 | 2 | 3 | 4 | 5 |
| 8.  | Teamwork is recognized and rewarded.   | 1 | 2 | 3 | 4 | 5 |
| 9.  | Rewards are given fairly.  | 1 | 2 | 3 | 4 | 5 |
| 10. | There are clear expectations for acceptable performance.   | 1 | 2 | 3 | 4 | 5 |
| 11. | People are held accountable for poor performance.  | 1 | 2 | 3 | 4 | 5 |
| 12. | There are clear expectations for acceptable behavior.  | 1 | 2 | 3 | 4 | 5 |
| 13. | People are held accountable for unacceptable behavior.   | 1 | 2 | 3 | 4 | 5 |
| 14. | On the job training is conducted in a professional manner, which is conducive to learning.   | 1 | 2 | 3 | 4 | 5 |
| 15. | There is equal opportunity for training, developmental, and career progression.  | 1 | 2 | 3 | 4 | 5 |
| 16. | Promotions generally go to those well qualified.   | 1 | 2 | 3 | 4 | 5 |
| 17. | People are debriefed, as to reasons for non selection.   | 1 | 2 | 3 | 4 | 5 |
| 18. | People are treated with respect, regardless of differences in culture, appearance, or beliefs.                                       | 1 | 2 | 3 | 4 | 5 |
| 19. | I am proud to work at my facility.   | 1 | 2 | 3 | 4 | 5 |
| 20. | Behavior, language or jokes that might be offensive to others are not tolerated at my facility.                                      | 1 | 2 | 3 | 4 | 5 |

Some things that work especially well at this facility are:

Some areas I would like to see improved are:

## Appendix D: Sample Communications Plan

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### **A. INTER-Facility Communications** (communications inside each facility):

#### **Communications Goals:**

- Timely (freshness of information--less than one week from origin to recipient, regardless of source)
- Relevant (to the recipient)
- Authoritative ("official" information versus informal information)
- Accessible (available at work and outside facility)
- Global (facility, regional, national, internal/external media)
- Cost effective (e.g., paperless as much as possible)

**Methods:** Establish facility communications team responsible for:

#### **Facility Communications Assessment:**

- Assess capabilities of existing facility media/technology to communicate with ALL employees (including easels, charts, pens, etc).
- Survey all facility personnel to assess individual electronic communications capabilities, access, skills.
- Develop cost estimates for improvements needed to hardware, software, networking and training activities.

**Communications Database:** establish and maintain a facility database containing each employee's preferred media and communications "address" (best channel for communicating with the employee)

**Content:** develop and collect information for the employee audience

**Media:** when necessary, convert information into standardized format (e.g. Word, HTML, Acrobat , print-to-electronic and vice versa)

**Metrics:** periodically assess of communications effectiveness (measurement of achievement of goals and customer satisfaction)

Prepare for all facility employees' training in use of cc:Mail, MS Word, Web browser(s), and Adobe Acrobat Reader (e-communications toolkit). They must have access to personal computer at work, access to cc:Mail and access to FAA intranet.

## **B. INTRA-Facility Communications** (communication among test facilities):

### **Communications Goals:**

- Sharing Best Practices
- Benchmarking

### **Methods/Media:**

- Website at each facility (may use existing website)
- National FAA Article 52 Website (when developed)
- Periodic telecons
- Periodic meetings with all test facilities

## **C. National Communications**

### **Communications Goals:**

- Collecting data on progress of Article 52 test
- Advertising progress of Article 52 test to wide national audience

### **Methods/Media:**

- Communications lead for Article 52 project to provide assistance for Inter and Intra Facility communications efforts
- Websites/e- newsletters
- Telecons
- Agency publications
- Meetings

### **e-Communications Toolkit (for each employee):**

#### **Access:**

- Workplace access to PC capable of connection to FAA intranet, Internet and printer capable of printing word and acrobat documents.

#### **Core Competencies:**

- Working knowledge of Microsoft Windows:
  - Opening and closing programs
  - Cutting and pasting information between programs
- E-mail system knowledge
  - Receiving and sending messages
  - Attaching files to messages
  - Opening and printing Acrobat files
- Working knowledge of web browser (Microsoft Explorer or Netscape Navigator)
  - Logging on to agency intranet or internet websites
  - Downloading files, saving web pages to local PC and printing saved data

Provide toolkit training to each employee using all available media (e.g., CBI, IVT and Web based online training).

## Appendix E: Available Training Resources

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There are a multitude of references and resources available on the subject of teams and teambuilding and the various skills needed to be effective in both. Listed below is a sampling of those references along with points of contact where more information is available. By using the points of contact listed below along with the skills and knowledge available within your own organizations, you have numerous ways to meet your team's training and development needs. *Once you have identified the desired training, process your training requests through your Regional Training Coordinator.*

There are a variety of methods to consider: consulting, classroom instruction, facilitation, mentoring, interactive video training (IVT), computer based instruction (CBI), correspondence courses, personal audio tapes (PATs), stand alone modules (SAMs), etc.

### **FAA Center for Management Development (CMD):**

4500 Palm Coast Parkway, S.E.

Palm Coast, FL 32137-8007

(386) 446-7000

<http://www.cmd.faa.gov/Default.htm>

**CMD Courses:** CMD courses utilize traditional classroom methodologies, IVT, CBI, SAMs, and PATs. Information concerning courses taught at the CMD may be obtained from Regional Training Program Management Offices, the Training Coordinators in your line organizations, or by using the following web sites:

<http://www.cmd.faa.gov/COURSEDE/Courses.htm>

<http://www.cmd.faa.gov/SCHEDULE/Schedule.htm>

To discuss your or your team's specific needs one-on-one and to have help determining what training and methodologies would be most appropriate, contact:

Carol Siboni,  
CMD Instructor/Developer  
(386) 447-2016  
cc:Mail: Siboni, Carol CTR  
e-mail: [carol.ctr.siboni@faa.gov](mailto:carol.ctr.siboni@faa.gov)

and/  
or  
George Weaver, Associate Director for  
Business Development  
(386) 446-7222  
cc:Mail: Weaver, George CTR  
e-mail: [george.ctr.weaver@faa.gov](mailto:george.ctr.weaver@faa.gov)

*The following are several different resources available through CMD to consider.*

**Team Workshops:** Designed to provide instructional and consultative services to organizations and teams, tailored to their specific needs. Deliveries may consist of existing CMD courses, abbreviated or modified deliveries of existing courses, or facilitation around specific issues; e.g., Visioning, Team Building, Goal Setting,

Reengineering, Consolidating, Transition of Leadership, and Interpersonal Communications Training. The overall outcome is to build effective work groups that share a sense of community and a commitment to resolving issues. Methodologies include interactive discussion, lecturettes, skill practices, assessment instruments, facilitated group work, and/or indoor and outdoor hands-on activities.

The outcomes of this type of intervention will vary in accordance with the specific needs of the group being supported. The following list includes but does not limit the range of subjects that can be addressed.

- Establishment of organizational vision, mission, goals and objectives
- Improved interpersonal communication skills
- Enhanced atmosphere of trust of co-workers and commitment to shared goals
- Effective problem solving and decision-making processes
- Ability to confront and effectively resolve conflicts
- Matured attitudes about continuous improvement, self-assessment, and the responsibility and ability to self manage
- Clarification of roles and responsibilities

**Learning Resource System:** Designed by CMD to aid employees, supervisors and managers in leading the FAA into a cost and performance-based environment.

<http://www.cmd.faa.gov/LRS/Default.htm>

This Resource Port is a virtual learning tool or "knowledge hub" that centers on 8 information links, categorized into subject areas. Currently the 8 links are:

- |                                     |  |
|-------------------------------------|--|
| • Individual Performance Management | • Change Management                          |
| • Labor Relations                   | • Compensation Plans                         |
| • Organizational Planning Documents | • Cost & Performance Management              |
| • Systems Thinking                  | • Developing Organizational Plans & Measures |

The pages offer hyperlinks to 80-100 web sites from government, education, and private sector organizations. These valuable resources furnish training, information, tools, and knowledge management for improving your skills as the FAA moves into the cost and performance environment. The Port also provides supplemental help

through suggested contact, FAQs, as well as a link to the main FAA web site and the FAA Supervisor's Online Support System (SOSS).

**CMD Lending Library:** The CMD Lending Library provides resources for your use in enhancing your skills and workplace performance. Up to four main items may be borrowed at one time for a loan period up to 30 days. Our selections include audiotapes, books, and videotapes.

<http://www.cmd.faa.gov/LIBRARY/Library.htm>

If you need assistance in ordering, would like to request the catalog on 3.5" disk, or would like our lending library specialist to recommend a selection that would fulfill your requirements, please contact:

FAA/CMD Lending Library  
AHM-1/Joe LaMonica  
4500 Palm Coast Pkwy., S. E.  
Palm Coast, FL 32137-8007  
(386) 446-7208 or FAX (386) 446-7200  
e-mail: [joe.ctr.lamonica@faa.gov](mailto:joe.ctr.lamonica@faa.gov)

## **Dr. Chuck Martinetz**

Dr. Charles (Dr. Chuck) Martinetz is a Cultural Change Consultant working for the FAA. He has expertise in a number of areas that directly affect SDWT such as:

1. Strategic Planning
2. Team Dynamics
3. Effective Communication
4. Facilitation Skills
5. Team Building
6. Conflict Management

He consults and conducts workshops in these areas. He will serve as a resource during the implementation phase of SDWT.

He can be reached at:

(570) 646 9276 or (609) 882 2231, x805  
Fax: 570 646 7277  
cc: Mail [Chuck.Martinetz@faa.gov](mailto:Chuck.Martinetz@faa.gov)

## FAA Academy

The FAA Academy, in conjunction with SmartForce, offers more than 700 titles. Courses can be downloaded for offline learning or accessed online from the desktop. <http://academy.jccbi.gov>

[e-Learning](#) is available to all FAA employees with access to the Intranet/Internet, it provides for information technology, office automation, and Business Skills training delivery.

[Aviation Training Network \(ATN\)](#) uses a modern interactive video studio in conjunction with a satellite uplink to provide a means for FAA and other government organizations to deliver cost-effective live training. The Academy's Aviation Training Network broadcasts to 59 downlink sites throughout the U.S. including Hawaii, Alaska and Puerto Rico. This allows participants to attend training with very little travel time involved.

[Computer-Based Instruction \(CBI\)](#) National Program Office is responsible for the distribution of over 200 courses on CD-ROM to FAA facilities. You can contact the National CBI Office in Room 217 of the Academy Building, Mike Monroney Aeronautical Center in Oklahoma City, OK, at (405) 954-4568.

The [Correspondence Study Program](#) offers technical, management, and business skills training allowing individuals to work at their own pace outside the classroom. There are over 100 courses to choose from.

### **FPMI Communications, Inc.:** <http://www.fpmi.com>

707 Fiber Street  
Huntsville, AL 35801  
(256) 539-1850

FPMI Communications, Inc. specializes in training seminars for federal managers and supervisors. The team includes hundreds of experts who are retired federal employees with an average of 25 years experience. They offer technical assistance, executive consulting services, conferences, training, newsletters, books, and online newsletters and research tools.

One of their many publications which was used as a resource for the SDWT effort is an excellent book entitled "A Practical Guide to Self-Managed Teams", ISBN 0-936295-76-7.